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Attorney's Docket No. FJN-063

PATENT

09/051670

TRANSMITTAL LETTER TO THE U.S. DESIGNATED OFFICE (DO/US)—  
ENTRY INTO THE U.S. NATIONAL STAGE UNDER CHAPTER I

PCT/JP97/02859	19 August 1997	19 August 1996
INTERNATIONAL APPLICATION NO.	INTERNATIONAL FILING DATE	PRIORITY DATE CLAIMED
NOVEL DNA AND PROCESS FOR PREPARING PROTEIN USING THE DNA		
TITLE OF INVENTION		
NAKAGAWA, Nobuaki; YASUDA, Hisataka		
APPLICANT(S)		

Box PCT  
Assistant Commissioner for Patents  
Washington D.C. 20231

ATTENTION: DO/US

NOTE: The completion of those filing requirements which can be made at a time later than 20 months from the priority date results from the Commissioner exercising his judgment under the authority granted under 35 USC 371(d). The filing receipt will show the actual date of receipt of the last item completing the entry into the national phase. See 37 CFR 1.491 which states: "An international application enters the national stage when the applicant has filed the documents and fees required by 35 USC 371(c) within the periods set forth in § 1.494 and § 1.495."

**WARNING:** Where the items are those which can be submitted to complete the entry of the international application into the national phase subsequent to 20 months from the priority date the application is still considered to be in the international stage and if mailing procedures are utilized to obtain a date the express mail procedure of 37 CFR 1.10 must be used (since international application papers are not covered by an ordinary certificate of mailing - 37 CFR 1.8 (2) (xi)).

NOTE: Documents and fees must be clearly identified as a submission to enter the national stage under 35 USC 371 otherwise the submission will be considered as being made under 35 USC 111. 37 CFR 1.494(f).

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this Transmittal Letter and the papers indicated as being transmitted therewith is being deposited with the United States Postal Service on this date April 16, 1998 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EM400954374US addressed to the: Assistant Commissioner for Patents, Washington, D. C. 20231.

Paula M. Swirka

(type or print name of person mailing paper)



(Signature of person mailing paper)

NOTE: Each paper or fee referred to as enclosed herein has the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 CFR 1.16(b).

**WARNING:** Certificate of mailing (first class) or facsimile transmission procedures of 37 CFR 1.8 cannot be used to obtain a date of mailing or transmission for this correspondence.

(Transmittal Letter to the United States Designated Office (DO/US)—Entry into National Stage Under 35 USC 371 [13-6]—page 1 of 6)

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1. Applicant herewith submits to the United States Designated Office (DO/US) the following items under 35 U.S.C. 371:

- a. ☒ This express request to immediately begin national examination procedures (35 U.S.C. 371(f)).
- b. ☒ The U.S. National Fee (35 U.S.C. 371(c)(1)) and other fees (37 CFR 1.492) as indicated below:

2. Fees

CLAIMS FEE	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
<input type="checkbox"/> *	TOTAL CLAIMS	4 —20=	0	×\$ 22.00=	\$
	INDEPENDENT CLAIMS	3 —3=	0	× \$ 82.00=	
MULTIPLE DEPENDENT CLAIM(S) (if applicable) + \$270.00					
BASIC FEE**	The international search fee, as set forth in § 1.445(a)(2) to be paid to the US PTO acting as an international Searching Authority: <input type="checkbox"/> has been paid (37 CFR 1.492(a)(2)) ..... \$790.00 <input type="checkbox"/> has not been paid (37 CFR 1.492(a)(3)) ..... \$1070.00 <input checked="" type="checkbox"/> where a search report on the international application has been prepared by the European Patent Office or the Japanese Patent Office (37 CFR 1.492(a)(5)) ..... \$930.00				930.00
Total of above Calculations					= 930.00
SMALL ENTITY	Reduction by 1/2 for filing by small entity, if applicable. Affidavit must be filed also. (note 37 CFR 1.9, 1.27, 1.28)				—
Subtotal					930.00
Total National Fee					\$ 930.00
Fee for recording the enclosed assignment document \$40.00 (37 CFR 1.21(h)). (See Item 10 below). See attached "ASSIGNMENT COVER SHEET (37 CFR 3.34)".					
TOTAL	Total Fees enclosed				\$ 930.00

\* See attached Preliminary Amendment Reducing the Number of Claims.

**\*\*WARNING:** "To avoid abandonment of the application, the applicant shall furnish to the United States Patent and Trademark Office not later than the expiration of 20 months from the priority date: \* \* \* (2) the basic national fee (see § 1.492(a)). The 20-month time limit may not be extended." 37 CFR § 1.494(b).

(Transmittal Letter to the United States Designated Office (DO/US)—Entry into National Stage Under 35 USC 371 [13-6]—page 2 of 6)

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- i. ☒ A check in the amount of \$ 930.00 to cover the above fees is enclosed.
- ii. ☐ Please charge Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_. A duplicate copy of this sheet is enclosed.

**WARNING:** If the translation of the international application, oath or declaration and national fee have not been submitted by the applicant within twenty (20) months from the priority date, the applicant will be so notified and given a period of time within which to file the translation and/or oath or declaration in order to prevent abandonment. The payment of the surcharge set forth in § 1.492(e) is required as a condition for accepting the oath or declaration later than twenty (20) months after the priority date. The payment of the processing fee set forth in § 1.492(f) is required for acceptance of an English translation later than twenty (20) months after the priority date. Failure to comply with these requirements will result in abandonment of the application. The provisions of § 1.136 will apply. 37 CFR § 1.494(c) and Notice of January 7, 1993, 1147 O.G. 29 to 40, at 35.

3. A copy of the International application as filed [35 U.S.C. 371(c)(2)]:
- a. ☐ is transmitted herewith.
- b. ☐ is not required as the application was filed with the United States Receiving Office.
- c. ☒ has been transmitted
- i. ☒ by the International Bureau. Date of mailing of the application (from form PCT/IB/308): 26 February 1998
- ii. ☐ by applicant on (date) \_\_\_\_\_.

NOTE: Section 1.494(b) was amended to require that the basic national fee and a copy of the international application must be filed with the Office by 20 months from the priority date to avoid abandonment. "The International Bureau normally provides the copy of the international application to the Office in accordance with PCT Article 20. At the same time, the International Bureau notifies the applicant of the communication to the Office. In accordance with PCT Rule 47.1, that notice shall be accepted by all designated offices as conclusive evidence that the communication has duly taken place. Thus, if the applicant desires to enter the national stage and applicant has received notice from the International Bureau, applicant need only pay the basic national fee by 20 months from the priority date." Notice of January 7, 1993, 1147 O.G. 29 to 40, at 35.

4. ☒ A translation of the International application into the English language [35 U.S.C. 371(c)(2)]:
- a. ☒ is transmitted herewith.
- b. ☐ is not required as the application was filed in English.
- c. ☐ was previously transmitted by applicant on (date) \_\_\_\_\_.
5. ☒ Amendments to the claims of the International application under PCT Article 19 [35 U.S.C. 371(c)(3)]:

NOTE: The Notice of January 7, 1993 indicates that 37 CFR § 1.494(d) was "amended to clarify the existing practice that PCT Article 19 Amendments must be submitted by 20 months from the priority date, which time may not be extended." This Notice further advises: "Of course, the failure to do so does not result in loss of the subject matter of PCT Article 19 amendments. The applicant may submit that subject matter in a preliminary amendment filed under Section 1.121. In many cases, filing an amendment under Section 1.121 is preferable since grammatical or idiomatic errors may be corrected." 1147 O.G. 29-40, at 35. See item 11(c) below.

- a. ☐ are transmitted herewith.

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- b. ☐ have been transmitted
- i. ☐ by the International Bureau. Date of mailing of the amendment (from form PCT/IB/308): \_\_\_\_\_
- ii. ☐ by applicant on (date) \_\_\_\_\_
- c. ☒ have not been transmitted as
- i. ☐ no notification has been received that the International Search Authority has received the Search Copy.
- ii. ☐ the Search Copy was received by the International Searching Authority but the Search Report has not yet been issued. Date of receipt of Search Copy (from form PCT/ISA/202): \_\_\_\_\_
- iii. ☒ applicant chose not to make amendments under PCT Article 19. Date of mailing of Search Report (from form PCT/ISA/210.): Sept. 29, 1997
- iv. ☐ the time limit for the submission of amendments has not yet expired. The amendments or a statement that amendments have not been made will be transmitted before the expiration of the time limit under PCT Rule 46.1.
6. ☒ A translation of the amendments to the claims under PCT Article 19 [35 U.S.C. 371(c)(3)]:
- a. ☐ is transmitted herewith.
- b. ☐ is not required as the amendments were made in the English language.
- c. ☒ has not been transmitted for reasons indicated at point 5.c. above.
7. ☒ An oath or declaration of the inventor [35 U.S.C. 371(c)(4)] complying with 35 U.S.C. 115
- a. ☐ was previously submitted by applicant on (date) \_\_\_\_\_
- b. ☐ is submitted herewith and such oath or declaration
- i. ☐ is attached to the application.
- ii. ☐ identifies the application and any amendments under PCT Article 19 which were transmitted as stated in points 3.b. or c. and 5.b; and states that they were reviewed by the inventor as required by 37 CFR 1.70.
- iii. ☒ will follow.

II. Other document(s) or information included:

8. ☒ An international Search Report or Declaration under PCT Article 17(2)(a):
- a. ☐ is transmitted herewith.
- b. ☒ has been transmitted by the International Bureau. Date of mailing (from form PCT/IB/308): 26 February 1998
- c. ☐ is not required as the application was searched by the United States International Searching Authority.

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- d. ☐ will be transmitted promptly upon request.  
e. ☐ has been submitted by applicant on (date) \_\_\_\_\_.  
f. ☐ is not transmitted as the international search has not yet issued.
9. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98:  
a. ☐ is transmitted herewith.  
Also transmitted herewith is  
☐ Form PTO—1449  
☐ Copies of citations listed  
b. ☒ will be transmitted within THREE MONTHS of the date of submission of requirements under 35 U.S.C. 371(c).  
c. ☐ was previously submitted by applicant on (date) \_\_\_\_\_.
10. ☐ An assignment document is transmitted herewith for recording. A separate ☐ "COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING NEW PATENT APPLICATION" or ☐ FORM PTO—1595 is also attached.  
☐ Please mail the recorded assignment document to:  
i. ☐ the person whose signature and address appears below.  
ii. ☐ the following:
11. ☒ Additional documents  
a. ☐ Copy of request (PCT/RO/101)  
b. ☒ International Publication No. W098/07840  
i. ☐ Specification, claims and drawing  
ii. ☒ Front page only  
c. ☐ Preliminary amendment (37 CFR § 1.121)  
d. ☒ Other : Certificate of Biological Deposit  
Computer Readable Copy of Sequence Listing (Disk)
12. ☒ The above checked items are being transmitted  
a. ☐ before the 18th month publication.  
b. ☒ after publication and the article 20 communication but before 20 months from the priority date.  
c. ☐ after 20 months (revival).
- NOTE: Petition to revive (37 CFR 1.137(a) or (b)) is necessary if 35 U.S.C. 371 requirements are submitted after 20 months.
13. ☐ Certain requirements under 35 U.S.C. 371 were previously submitted by the applicant on \_\_\_\_\_ (date) namely:

# AUTHORIZATION TO CHARGE ADDITIONAL FEES

**WARNING:** Accurately code claims, especially multiple dependant claims, to avoid unexpected high charges if extra claims are authorized.

- ☒ The Commissioner is hereby authorized to charge the following additional fees which may be required by this paper and during the entire pendency of this application to Account No. 20-0531.

☒ 37 CFR 1.492(a)(1), (2), (3), and (4) (filing fees)

**WARNING:** Because failure to pay the national fee within 20 months without extension (37 CFR § 1.494(b)(2)), results in abandonment of the application, it would be best to always check the above box.

☒ 37 CFR 1.492(b), (c), and (d) (presentation of extra claims)

**NOTE:** Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 CFR 1.16(d)), it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.

☐ 37 CFR 1.17 (application processing fees)


**WARNING:** While 37 CFR 1.17(a), (b), (c) and (d) deal with extensions of time under § 1.136(a) this authorization should be made only with the knowledge that: "Submission of the appropriate extension fee under 37 CFR 1.136(a) is to no avail unless a request or petition for extension is filed" (Emphasis added). Notice of November 5, 1985 (1060 O.G. 27).

☐ CFR 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 CFR 1.311(b).

**NOTE:** Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the notice of allowance. 37 CFR 1.311(b).

**NOTE:** 37 CFR 1.28(b) requires "Notification of any change in loss of entitlement to small entity status must be filed in the application . . . prior to paying or at the time of paying . . . issue fee". From the wording of 37 CFR 1.28(b): (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity.

☐ 37 CFR 1.492(e) and (f) (surcharge fees for filing the declaration and/or filing an English translation of an International Application later than 20 months after the priority date.

  
Signature of attorney  
Paula A. Campbell

(Type or print name of attorney)  
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